**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

| | |
|----------------------|--------------------|
| Application Number | 09/811,661 |
| Filing Date | March 19, 2001 |
| First Named Inventor | Y. Fujiwara et al. |
| Art Unit | 2621 |
| Examiner Name | Jose L. Couso |
| Attorney Docket No. | MTS-3242US |

ENCLOSURES (Check all that apply)

- | | | |
|--|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/Declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO 2038 |
|--|--|---|

Remarks:**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

| | | | |
|-------------------------------|-------------------------|-----------------------------------|--------|
| Firm or Individual Name | Daniel N. Calder | Registration No. (Attorney/Agent) | 27,424 |
| Signature | <i>Daniel N. Calder</i> | | |
| Date | October 15, 2004 | | |

CERTIFICATE OF TRANSMISSION / MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

| | | | |
|--------------------------|------------------------|------|------------------|
| Typed or printed name | Danielle Murphy | Date | October 15, 2004 |
| Signature | <i>Danielle Murphy</i> | | |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Office, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, ALEXANDRIA, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180

Complete if Known

Application Number 09/811,661
 Filing Date March 19, 2001
 First Named Inventor Y. Fujiwara et al.
 Examiner Name Jose L. Couso
 Art Unit 2621
 Attorney Docket No. MTS-3242US

METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit Card ☐ Money ☐ Other ☐ None
 Order

☒ Deposit Account (use as backup only):
Deposit
Account
Number

18-0350

Deposit
Account
Name

RatnerPrestia

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below
☒ Credit any overpayments
☒ Charge any additional fee(s) or any underpayment of fee(s)
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1001 | 790 | 2001 | 395 | Utility filing fee | |
| 1002 | 350 | 2002 | 175 | Design filing fee | |
| 1003 | 550 | 2003 | 275 | Plant filing fee | |
| 1004 | 790 | 2004 | 395 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |

SUBTOTAL (1)

(\$ 0)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|-----------------------------|--------------|----------------|----------|
| -20** = 0 | X | | 0 |
| Independent Claims -3** = 0 | X | | 0 |
| Multiple Dependent | X | | 0 |

| Large Entity | | Small Entity | | Fee Description |
|--------------|----------|--------------|----------|--|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | |
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| 1201 | 88 | 2201 | 44 | Independent claims in excess of 3 |
| 1203 | 300 | 2203 | 150 | Multiple dependent claim, if not paid |
| 1204 | 88 | 2204 | 44 | ** Reissue independent claims over original patent |
| 1205 | 18 | 2205 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$ 0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 1053 | 130 | 1053 | 130 | Non-English specification | |
| 1812 | 2,520 | 1812 | 2,520 | For filing a request for ex parte reexamination | |
| 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840* | 1805 | 1,840* | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| 1252 | 430 | 2252 | 215 | Extension for reply within second month | |
| 1253 | 980 | 2253 | 490 | Extension for reply within third month | |
| 1254 | 1,530 | 2254 | 765 | Extension for reply within fourth month | |
| 1255 | 2,080 | 2255 | 1,040 | Extension for reply within fifth month | |
| 1401 | 340 | 2401 | 170 | Notice of Appeal | |
| 1402 | 340 | 2402 | 170 | Filing a brief in support of an appeal | |
| 1403 | 300 | 2403 | 150 | Request for oral hearing | |
| 1451 | 1,510 | 1451 | 1,510 | Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable | |
| 1453 | 1,370 | 2453 | 685 | Petition to revive - unintentional | |
| 1501 | 1,370 | 2501 | 685 | Utility issue fee (or reissue) | |
| 1502 | 490 | 2502 | 245 | Design issue fee | |
| 1503 | 660 | 2503 | 330 | Plant issue fee | |
| 1460 | 130 | 1460 | 130 | Petitions to the Commissioner | |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | 180 |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | |
| 1809 | 790 | 2809 | 395 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 1810 | 790 | 2810 | 395 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 1801 | 790 | 2801 | 395 | Request for Continued Examination (RCE) | |
| 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application | |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 180)

SUBMITTED BY

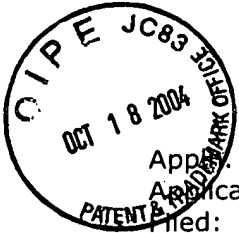
Complete (if applicable)

| | | | | | |
|-------------------|------------------|---------------------------------|--------|-----------|------------------|
| Name (Print/Type) | Daniel N. Calder | Registration No. Attorney/Agent | 27,424 | Telephone | (610) 407-0700 |
| Signature | Daniel N. Calder | | | Date | October 15, 2004 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

App. No: 09/811,661
Applicant: Y. Fujiwara et al.
Filed: March 19, 2001
Title: IMAGE SIGNAL ENCODING DEVICE AND IMAGES SIGNAL ENCODING METHOD
TC/A.U.: 2621
Examiner: Jose L. Couso
Confirmation No.: 9405

**SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT**

Mail Stop Issue Fee
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO 1449 (RP) submitted herewith. A copy of the references listed on the 1449 form is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

The enclosed references were cited by a foreign patent examining authority in connection with the examination of a counterpart of the above identified application. A copy of this English language search report, indicating the degree of relevance determined by the foreign patent office is submitted herewith. MPEP Section 609A(3), second paragraph.

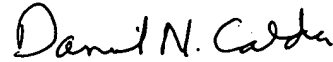
STATEMENT UNDER 37 C.F.R. § 1.97(e)

The undersigned hereby states that each item of information contained in the Supplemental Information Disclosure Statement was first cited in any communication from a

foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Supplemental Information Disclosure Statement.

The required fee set forth in 37 C.F.R. § 1.17(p) is provided herewith.

Respectfully submitted,



Daniel N. Calder, Reg. No. 27,424
Attorney for Applicants

DNC/dlm

Enclosures: PTO Form 1449
(9) References
Search Report
Transmittal Form
Fee Transmittal
PTO Form 2038

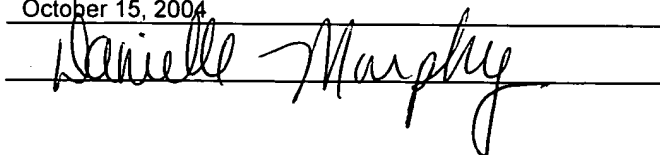
Dated: October 15, 2004

P.O. Box 980
Valley Forge, PA 19482
(610) 407-0700

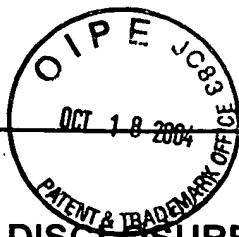
The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

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Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on:

October 15, 2004



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(AW 08/03)

Substitute for Form 1449B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

| | |
|----------------------|----------------------|
| Application Number | 09/811,661 |
| Filing Date | March 19, 2001 |
| First Named Inventor | Yuji Fujiwara et al. |
| Art Unit | 2621 |
| Examiner Name | Jose L. Couso |
| Attorney Docket No. | MTS-3242US |

SHEET 2 of 2

NON-PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | T ² |
|-----------------------|--------------------------|---|--------------------------|
| | 1 | Partial European Search Report corresponding to application no., EP 01 10 6712 dated September 15, 2004. | <input type="checkbox"/> |
| | 2 | J. L. Mitchell et al., "MPEG Video Compression Standard", MPEG VIDEO COMPRESSION STANDARD, CHAPMAN AND HALL DIGITAL MULTIMEDIA STANDARDS SERIES, pp. 135-165, XP 002118039, 1996. | <input type="checkbox"/> |
| | 3 | Zhu Xiuchang et al., "A Multi-Standard Video Codec Scheme Based on the AxPe1280V Chip", JOURNAL OF NANJING UNIVERSITY OF POSTS AND TELECOMMUNICATIONS, vol. 18, no. 5-6, XP002290496, 1998. (English abstract only) | <input type="checkbox"/> |
| | 4 | "XP-002290497", JOURNAL OF NANJING UNIVERSITY OF POSTS AND TELECOMMUNICATIONS, XP-002290497 dated July 29, 2004. (English abstract only) | <input type="checkbox"/> |
| | 5 | P.H.N. de With et al, "Digital Consumer HDTV Recording Based on Motion-Compensated DCT Coding of Video Signals", SIGNAL PROCESSING: IMAGE COMMUNICATION, vol. 4, no. 4/5, pp. 401-420, August 1, 1992. | <input type="checkbox"/> |
| | 6 | "Recording - Helical-Scan Digital Video Cassette Recording System Using 6,35 mm Magnetic Tape for Consumer Use (525-60, 625-50, 1125-60 and 1252-50 systems) - Part 2: SD Format for 525-60 and 625-50 Systems", INTERNATIONAL STANDARD, no. 61834-2, XP 001193381, August 1998. | <input type="checkbox"/> |
| | 7 | "Enregistrement - Systemes De Magnetoscopes Numeriques A Cassette A Balayage Helicoidal Sur Bande Magnetique De 6,35 MM Pour Usage Grand Public (Systemes 525-60, 625-50, 1125-60 et 1250-50) - Partie 3: Format HD Pour Systemes 1125-60 et 1250-50 Recording" INTERNATIONAL STANDARD - IEC, No. 61834-3, XP-001193382, November 1999. | <input type="checkbox"/> |
| | 8 | "H.26L Test Model Long Term Number 1 (TML-2) Draft 0" ITU-T TELECOMMUNICATION STANDARIZATION SECTOR OF ITU, pp. 1-23, XP-001089819, October 19, 1999. | <input type="checkbox"/> |
| | | | <input type="checkbox"/> |
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| | | | <input type="checkbox"/> |

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

¹ Applicant's unique citation designation number (optional).

² Applicant is to place a check mark here if English language translation is attached.

The collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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